

042204

P24817.P01

UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.

P24817

Total Pages

Inventor(s) or Application Identifier:

Kenzo YAMANAKA, Koichi MARUYAMA, and Shuichi TAKEUCHI

Title: OPTICAL SYSTEM OF OPTICAL PICK-UP

ADDRESS TO:

Commissioner for Patents
Mail Stop Patent Application
PO Box 1450
Alexandria, VA 22313-1450

22278 U.S. PTO

10/829279

APPLICATION ELEMENTS

ACCOMPANYING APPLICATION PARTS

1. ☒ Fee Transmittal Form
(Submit an original, and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.
See 37 CFR 1.27.
 - a. ☐ Small Entity Statement(s)
3. ☒ Specification [Total Pages 58]
(preferred arrangement set forth below)
 - Descriptive title of the Invention
 - Cross References to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. ☒ Drawing(s) (35 USC 113) [Total Sheets 4]
5. ☒ Oath or Declaration [Total Pages 4]
 - a. ☒ Newly executed (original or copy) ☐ Unexecuted
 - b. ☐ Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 20 completed)
[Note Box 6 below]
 - i. ☐ DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s)
named in the prior application, see 37 CFR
1.63(d)(2) and 1.33(b).
6. ☐ Incorporation By Reference (useable if Box 5b is checked)
The entire disclosure of the prior application, from which a
copy of the oath or declaration is supplied under Box 5b, is
considered as being part of the disclosure of the accompanying
application and is hereby incorporated by reference therein.
7. ☐ Application Data Sheet. See 37 CFR 1.76
8. ☐ CD-Rom or CD-R in duplicate, large table or Computer
Program (Appendix)

9. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
 - a. ☐ Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. ☐ CD-ROM or CD-R (2 copies); or
 - ii. ☐ paper
 - c. ☐ Statements verifying identity of above copies
10. ☒ Assignment Papers (cover sheet & document(s))
11. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney
12. ☐ English Translation Document (if applicable)
13. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
14. ☒ Preliminary Amendment
15. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
16. ☒ Figure of Drawing to be published: 1
17. ☒ Foreign priority claimed
 - a. ☒ Claim of Priority
 - b. ☒ Certified Copy of Priority Document(s)
18. ☐ Nonpublication Request under 35 U.S.C. 122 (b) (2) (B) (i).
Applicant must attach form PTO/SB/35 or its equivalent.
19. ☒ Assignee: PENTAX Corporation, of Tokyo, Japan
20. ☒ Other: Cover Letter Regarding Executed Application

21. If a **CONTINUING APPLICATION**, check appropriate box and supply the requisite information below and in the first sentence of the specification following the title, or in an Application Data Sheet under 37 C.F.R. 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior Application No. _____ filed _____
Prior application information: Examiner: _____ Group Art Unit: _____

Address all future correspondence to **Customer No. 7055** at the present address of:

GREENBLUM & BERNSTEIN, P.L.C.
1950 Roland Clarke Place
Reston, VA 20191
(703) 716-1191

Date

Signature

Bruce H. Bernstein, Reg. No. 29,027
Typed or Printed Name

FEE TRANSMITTAL

Application Number

Not Yet Assigned

Filing Date

Concurrently Herewith

First Named Inventor

Kenzo YAMANAKA et al.

Group Art Unit

Unassigned

Examiner Name

Unassigned

TOTAL AMOUNT OF PAYMENT

(\$1,022.00)

Attorney Docket Number

P24817

METHOD OF PAYMENT (check one)

FEE CALCULATION (continued)

1. ☒ The U.S. Patent and Trademark Office is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 19-0089Deposit Account Name GREENBLUM & BERNSTEIN, P.L.C.

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17, including any required extension of time fees in any concurrent or future

reply requiring a petition for extension of time for its timely submission (37 CFR 1.136(a)(3))

- ☐ Charge the Issue Fee Set in 37 CFR 1.18 at the Mailing of the Notice of Allowance, 37 CFR 1.311(b)

- ☐ Applicant Claims Small Entity Status See 37 CFR 1.27.

2. ☒ Payment Enclosed:

☒ Check ☐ Credit Card ☐ Money Order ☐ Other

FEE CALCULATION (fees effective 10/01/03)

1. FILING FEE

| Large Fee Code | Entity Fee (\$) | Small Fee Code | Entity Fee (\$) | Fee Description | Fee Paid |
|----------------|-----------------|----------------|-----------------|------------------------|----------|
| 1001 | 770 | 2001 | 385 | Utility filing fee | 770.00 |
| 1002 | 340 | 2002 | 170 | Design filing fee | |
| 1003 | 530 | 2003 | 265 | Plant filing fee | |
| 1004 | 770 | 2004 | 385 | Reissue filing fee | |
| 1005 | 160 | 2005 | 80 | Provisional filing fee | |

SUBTOTAL (1) (\$) 770.00

2. CLAIMS

| Total Claims | Extra | Fee from below | Fee Paid |
|---------------------------|-------|----------------|----------|
| 27 | -20= | 7 x 18 | 126.00 |
| Independent | 4 -3= | 1 x 86 | 86.00 |
| Multiple Dependent Claims | 0 | x 290 | 0.00 |

| Large Fee Code | Entity Fee (\$) | Small Fee Code | Entity Fee (\$) | Fee Description |
|----------------|-----------------|----------------|-----------------|---|
| 1202 | 18 | 2202 | 9 | Claims in excess of 20 |
| 1201 | 86 | 2201 | 43 | Independent claims in excess of 3 |
| 1203 | 290 | 2203 | 145 | Multiple dependent claim |
| 1204 | 86 | 2204 | 43 | Reissue independent claims over original patent |
| 1205 | 18 | 2205 | 9 | Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$) 212.00

3. ADDITIONAL FEES

| Large Fee Code | Entity Fee (\$) | Small Fee Code | Entity Fee (\$) | Fee Description | Fee Paid |
|----------------|-----------------|----------------|-----------------|--|----------|
| 1051 | 130 | 2051 | 65 | Surcharge - late filing fee or oath | |
| 1052 | 50 | 2052 | 25 | Surcharge - late provisional filing fee or cover sheet. | |
| 1053 | 130 | 1053 | 130 | Non-English specification | |
| 1812 | 2,520 | 1812 | 2,520 | For filing a request for reexamination | |
| 1804 | 920* | 1804 | 920* | Requesting publication of SIR | |
| 1805 | 1,840* | 1805 | 1,840* | Prior to Examiner action | |
| 1251 | 110 | 2251 | 55 | Requesting publication of SIR after Examiner action | |
| 1252 | 420 | 2252 | 210 | Extension for response within 1st month | |
| 1253 | 950 | 2253 | 475 | Extension for response within 2nd month | |
| 1254 | 1,480 | 2254 | 740 | Extension for response within 3rd month | |
| 1255 | 2,010 | 2255 | 1,005 | Extension for response within 4th month | |
| 1401 | 330 | 2401 | 165 | Extension for response within 5th month | |
| 1402 | 330 | 2402 | 165 | Notice of Appeal | |
| 1403 | 290 | 2403 | 145 | Filing a brief in support of an appeal | |
| 1451 | 1,510 | 1451 | 1,510 | Request for oral hearing | |
| 1452 | 110 | 2452 | 55 | Petition to institute a public use proceeding | |
| 1453 | 1,330 | 2453 | 665 | Petition to revive unavoidably abandoned application | |
| 1501 | 1,330 | 2501 | 665 | Petition to revive unintentionally abandoned application | |
| 1502 | 480 | 2502 | 240 | Utility issue fee (or reissue) | |
| 1503 | 640 | 2503 | 320 | Design issue fee | |
| 1460 | 130 | 1460 | 130 | Plant issue fee | |
| 1807 | 50 | 1807 | 50 | Petitions to the Commissioner | |
| 1806 | 180 | 1806 | 180 | Petitions related to provisional applications | |
| 8021 | 40 | 8021 | 40 | Submission of IDS | |
| 1809 | 770 | 2809 | 385 | Recording each patent assignment per property (times number of properties) | 40.00 |
| 1810 | 770 | 2810 | 385 | Filing a submission after final rejection (37 CFR 1.129(a)) | |
| 1801 | 770 | 2801 | 385 | For each additional invention to be examined (37 CFR 1.129(b)) | |
| 1802 | 900 | 1802 | 900 | Request for Continued Examination (RCE) | |
| | | | | Request for expedited examination of a design application | |

Other fee (specify) _____

Other fee (specify) _____

SUBTOTAL (3) (\$) 40.00

*Reduced by Basic Filing Fee paid

SUBMITTED BY

Complete (if applicable)

Typed or Printed Name

Bruce H. Bernstein

Reg. Number

29,027

Signature

Date

4/23/04

Deposit Account User ID

P24817.A01

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants :Kenzo YAMANAKA et al.

Applications Branch

Appln. No. : Not yet assigned

Filed : Concurrently herewith

For : OPTICAL SYSTEM OF OPTICAL PICK-UP

COVER LETTER REGARDING EXECUTED APPLICATION

Commissioner for Patents
Alexandria, VA 22313-1450

Sir:

The undersigned points out that the executed application being filed herewith includes pages 1 - 4 of the executed declaration which were forwarded to the undersigned by Applicants' Japanese representative on April 16, 2004, and pages 1 - 58 of the specification (with Figures 1 - 4) which were earlier forwarded to the undersigned by facsimile by Applicants' Japanese representative on April 14, 2004. Further, the undersigned has been advised by the Japanese representative that the inventors had reviewed the application before executing the declaration.

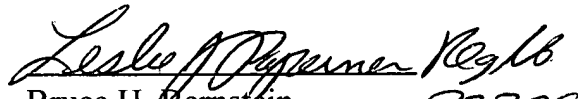
Accordingly, Applicants respectfully submit that the present application is properly executed and should be considered as filed in executed form. However, if the U.S. Patent and Trademark Office determines that the present application is not properly executed,

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Applicants respectfully request that the present application be treated as an unexecuted application under 37 C.F.R. 1.53(f).

Should there be any questions regarding this paper, please contact the undersigned at the below listed number.

Respectfully submitted,
Kenzo YAMANAKA et al.


Bruce H. Bernstein
Reg. No. 29,027

Reg 16
33,329

April 20, 2004
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